

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 248323US2

First Inventor or Application Identifier Yoshiki MURAKAMI, et al.

Title POWER TRADING RISK MANAGEMENT SYSTEM

U.S. PTO  
10/7/04  
2390

020204

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

## ADDRESS TO:

Commissioner for Patents  
Mail Stop Patent Application  
Alexandria, Virginia 22313

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification Total Sheets
3. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets
4. ☐ Oath or Declaration Total Pages 
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))  
(for continuation/divisional with box 17 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in  
the prior application, see 37 C.F.R. §1.63(d)(2) and  
1.33(b).
5. ☐ CD-ROM or CD-R in duplicate, large table or Computer  
Program (Appendix)
6. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification or Sequence Listing on :
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☒ Application Data Sheet. See 37 CFR 1.76
9. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure ☒ Copies of IDS  
Statement (IDS)/PTO-1449 Citations (2)
12. ☐ Preliminary Amendment
13. ☒ White Advance Serial No. Postcard
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Applicant claims small entity status.  
See 37 CFR 1.27
16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

Prior application information: Examiner: Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.


## 18. CORRESPONDENCE ADDRESS

Customer Number

22850

(703) 413-3000

FACSIMILE: (703) 413-2220

|            |   |                   |        |
|------------|---|-------------------|--------|
| Name:      | Marvin J. Spivak  | Registration No.: | 24,913 |
| Signature: |  | Date:             | 2/2/04 |
| Name:      |   | Registration No.: |        |

C. Irvin McClelland  
Registration Number 21,124



Docket No. 248323US2

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

INVENTOR(S) Yoshiki MURAKAMI, et al.

SERIAL NO: New Application

FILING DATE: Herewith

FOR: POWER TRADING RISK MANAGEMENT SYSTEM

**FEE TRANSMITTAL**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

| FOR   | NUMBER<br>FILED | NUMBER<br>EXTRA | RATE      | CALCULATIONS |
|---|-----------------|-----------------|-----------|--------------|
| TOTAL CLAIMS  | 23 - 20 =       | 3               | x \$18 =  | \$54.00      |
| INDEPENDENT CLAIMS  | 4 - 3 =         | 1               | x \$86 =  | \$86.00      |
| <input checked="" type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable) |                 |                 | + \$290 = | \$290.00     |
| <input checked="" type="checkbox"/> LATE FILING OF DECLARATION                |                 |                 | + \$130 = | \$130.00     |
| BASIC FEE   |                 |                 |           | \$770.00     |
| TOTAL OF ABOVE CALCULATIONS   |                 |                 |           | \$1,330.00   |
| <input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY          |                 |                 |           | \$0.00       |
| <input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE                       |                 |                 | + \$130 = | \$0.00       |
| <input type="checkbox"/> RECORDATION OF ASSIGNMENT                            |                 |                 | + \$40 =  | \$0.00       |
| TOTAL   |                 |                 |           | \$1,330.00   |


- ☐ Please charge Deposit Account No. 15-0030 in the amount of \_\_\_\_\_ A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ Credit card payment form is attached to cover the filing fee in the amount of **\$1,330.00**
- ☒ The Director is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Date: \_\_\_\_\_

2/2/04

  
Marvin J. Spivak

Registration No. 24,913

Customer Number

**22850**

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 05/03)

**C. Irvin McClelland**  
**Registration Number 21,124**